



TEXAS TECH UNIVERSITY HEALTH SCIENCES CENTER™

School of Medicine

Operating Policy and Procedure

SOM OP: 20.20, **Faculty Evaluation Guidelines and Procedures**

PURPOSE: The purpose of this School of Medicine (SOM) Policy and Procedure is to foster development of faculty talents and achievements, improve communication and teamwork between the Chair and department faculty, stimulate self-evaluations, and enhance quality improvement.

REVIEW: This SOM Policy and Procedure shall be reviewed within each odd-numbered fiscal year by the Policy Review Subcommittee of the Faculty Council Executive Committee. Revisions will be forwarded to the Office of the Dean for approval and publication.

POLICY/PROCEDURE:

1. **General.** In order to foster development of faculty talents and achievements, improve communication and teamwork between the Chair and department faculty, stimulate self-evaluations, and enhance quality improvement, it is important to conduct yearly faculty reviews. It is important for each faculty member to document his or her activities and accomplishments for the past fiscal year and to review progress and set goals for the coming year with the departmental chair. This document does not alter the procedures established in the SOM Guidelines for Tenure and Promotion or any ordinary contract obligations.
2. **Purpose of Annual Faculty Evaluation.**
 - a. The annual faculty evaluation is intended to foster faculty accomplishments suitable to the goals and mission of the department and school in areas including teaching and self-development, scholarship, clinical service, academically-related public service, and revenue.
 - b. It provides documentation of such accomplishments for the purpose of career advancement and ensure self-review.
 - c. It provides an opportunity for the department chair to coach/mentor faculty in career enhancement and growth.
 - d. Annual evaluation enhances teamwork and performance by communication and identification of goals.
3. **Criteria.** The responsibilities of the university dictate, to a major extent, the responsibilities of the individual faculty member. Therefore, faculty members are responsible for teaching, scholarship, clinical activities, and academically-related public service to the profession, university, and community. Performance in these four areas of responsibility will provide the basis for the evaluation of faculty members. In making individual evaluations, consideration should be given to standards expected of faculty members in similar fields of study in institutions of higher education comparable to this University in terms of mission and goals.
4. **Procedures.** Faculty members will access [Faculty Success](#), to generate the SOM Faculty Evaluation Self-Report. The faculty member and chair will jointly assess the priority of each of the eight areas of accomplishment listed below when considering the faculty member's contributions to the department. This should be explicitly addressed at the time of faculty review.
 - a. Faculty Evaluation Self-Report Format: Faculty will prepare self-reports based on the past **fiscal year** using the following headings:
 - 1) *Workload Information*

- 2) *Faculty Development Activities Attended*
- 3) *Awards and Honors*
- 4) *Innovations*
- 5) *Teaching*
- 6) *Scholarship* (publications, presentations, innovations, collaborations)
- 7) *Clinical Service* (omit for non-clinical faculty)
- 8) *Academically-Related Public Service*

The following descriptions are to assist the faculty member in considering and reporting his or her accomplishments for the past **fiscal year**.

- 1) **Faculty Development Activities Attended.** This includes participation in Faculty Development programs, continuing education, grand rounds attended, personal development and other Faculty development activities (a course to learn a new research or surgical technique, for instance) should be documented here. Dates of each attended activity are required.
- 2) **Awards and Honors.** Awards and honors should be noted in this area.
- 3) **Innovations.** Teaching, clinical or administrative innovations (not scholarship). This includes but is not limited to new courses, residency programs, fellowship programs, workshops, laboratory exercises, new clinical techniques, services, therapies, health care delivery systems or organizations, task forces, committees or programs you have developed and date initiated.
- 4) **Teaching.** Faculty members should indicate hours and types of teaching activities. Types of activities to be considered include lectures (undergraduate, graduate, resident, community), seminars, preceptorships, mentoring, discussion groups, small group sessions, interprofessional education, grand rounds given, etc. Those with heavy teaching or teaching administrative loads may wish to prepare an "hour's summary" and prepare and maintain a "teaching portfolio". Block/course/clerkship/program directors should also document any special teaching initiatives, development of innovative methods, interdepartmental collaboration in teaching, and so forth and should provide a succinct narrative summary describing their accomplishments. Clinical teachers will need to explicitly indicate total hours of attending/teaching as well as seminar/lecture/small group teaching. Post-doctoral and resident mentoring should be addressed. Invited lectures would be addressed here. Regular records of teaching activities (by nature of effort and time required) should be kept by the faculty member on a weekly or monthly basis to facilitate documentation. Reviews of teaching by students/residents, etc. should be addressed in this section.
- 5) **Scholarship.** All publications, grants (including submitted, pending, approved but not funded, etc.), works in progress, collaborations, presentations, abstracts, and innovations should be reported. A brief statement of overall focus or impact of the research/scholarly activity is important. It is important to indicate and describe inter-departmental collaborative efforts. Works in progress, work completed during the year, and work published/reported during the year should be reported. Peer-reviewed and other grants and funding related to these efforts should be noted. Revenue/grants related to educational efforts should be noted.
- 6) **Clinical Service.** This includes clinical contributions, activity, productivity, special clinical services, special clinical initiatives and related areas should be addressed. Special contributions (such as performing a needed but uncompensated clinical service) should be addressed here.
- 7) **Academically-Related Public Service.** This section entails all committee work, administrative, community and University service work to be reported. Special accomplishments as Chair or Director (etc.) should be briefly described. Professional

community service and volunteer work should also be reported here. This can include local, state, regional, national and international service on committees, site reviews, organizational committees and offices, etc. Revenue related to these efforts should be noted.

5. Timing.

- a. Notices and timeline will be provided to the Campus Chairs and faculty in mid-August.
- b. All faculty are required to complete and submit their SOM Faculty Evaluation Self-Report and provide an updated curriculum vitae to their Campus Department Chair. Faculty will only be required to complete an evaluation by their Chair after they have completed six-months of service to the school.
- c. In subsequent years, the SOM Faculty Evaluation Self-Report and an updated curriculum vitae will be submitted to the Campus Department Chair or designee by mid-September.
- d. As described below, the Chair or designee will complete the [SOM OP 20.20.A, Faculty Summary Report & Confirmation](#), noting any plans for the coming year, and will be reviewed in person with the faculty member. Both will sign the document.
- e. The Campus Department Chair will submit the updated curriculum vitae, SOM Faculty Evaluation Self-Report and the signed SOM OP 20.20.A, Faculty Summary Report & Confirmation to the Division of Faculty Affairs by the end of October (see specific timeline sent in 5.a).

6. Process.

- a. The Campus Chair, assisted by Division Chiefs or other designee if appropriate, will review the SOM Faculty Evaluation Self-Report submitted by the faculty and prepare [SOM OP 20.20.A, Faculty Summary Report & Confirmation](#) (maximum of one-page typed). The Campus Chair may also consider performance for the three previous years. The report will be reviewed by the Chair or designee in person with the faculty member. The Chair, to the best of his/her ability, will determine the faculty member's compliance with TTUHSC policies, procedures, and work rules. Both the chair or designee and faculty member will sign to document the discussion, and each will retain copies for their records. In addition, Department Chairs reviewing tenured faculty will evaluate the continued contributions to the institution.
- b. A faculty member may submit in writing a clarification/rebuttal, [SOM OP 20.20.B, Faculty Clarification/Rebuttal of Faculty Summary Report & Confirmation](#), which will become part of [SOM OP 20.20.A, Faculty Summary Report & Confirmation](#). [SOM OP 20.20.B., Faculty Clarification/Rebuttal of Summary Report & Confirmation](#), will be reviewed by the Chair or designee in person with the faculty member, and both will sign to document the discussion. Copies of both SOM OP 20.20.A and SOM OP 20.20.B are to be retained by the faculty member and the Campus Chair with a copy sent to the Office of Faculty Recruitment, Affairs and Development.
- c. Less than satisfactory reviews will be submitted to the Associate Dean of Faculty Recruitment, Affairs and Development, and (for tenured faculty) to the Post Tenure Peer Review Committee, in accordance with the Comprehensive Performance Evaluation of Tenured Faculty policy.
- d. The [SOM OP 20.20.A, Faculty Summary Report & Confirmation](#), will remain confidential for review only by the following, unless there is signed approval by the faculty member:
 - i. The faculty member
 - ii. The campus chair (and/or designee who completed the review)

- iii. The Associate Dean for Faculty Recruitment, Affairs and Development
 - iv. The Regional Dean (if applicable)
 - v. The SOM Dean
 - vi. The Post Tenure Peer Review Committee (if applicable)
- e. The Faculty Summary Report & Confirmation will be submitted by the faculty member for Post Tenure Review and will be reviewed by the Post Tenure Peer Review Committee.
7. **Recognition.** Performance evaluations on annual review will provide data for use in the recognition of faculty performing well, including salary recommendations, merit salary increases, salary bonuses, research support, nominations for awards, academic recognition, development leaves, and other rewards.
8. **Faculty Mediation Process.** The Faculty Council Executive Committee shall identify and select *ad hoc* Faculty Mediators who are senior faculty members (preferably tenured), one of whom will be available to be called upon for review of any situation where the faculty member has any concerns about his or her review. The goal of this process will be to improve communication and fairness without resorting to an adversarial situation. Such mediation should occur promptly. The following procedures will be followed:
- a. If a faculty member has any concerns about his/her review, the faculty member may contact the current Faculty Council Executive Committee Chair to arrange for one of the Faculty Mediators to discuss the situation. The Faculty Mediators shall be empowered to speak on behalf of the faculty member to the Chair (or Dean) as desired by the faculty member and warranted by the situation.
 - b. When resolution of the concerns by this process results in a favorable change in chair assessment, suitably revised review forms will be substituted in the files and copies made available to the faculty member and department.
 - c. When resolution is not achieved, the faculty member may refer to [SOM OP 20.10, Faculty Grievances](#).

ATTACHMENTS

[SOM OP 20.20.A – Faculty Summary Report & Confirmation](#)

[SOM OP 20.20.B – Faculty Clarification/Rebuttal of Faculty Summary Report & Confirmation](#)